

12/21/01

J1130 U.S. PTO

25 Metro Drive
Suite 700San Jose
California 95110T: 408-453-9200
F: 408-453-7979Austin, TX
Newport Beach, CA
San Francisco, CAskjerven morrill
macpherson LLP

Docket No.: M-9340 US

December 21, 2001

Box Patent Application
Commissioner For Patents
Washington, D. C. 20231

Enclosed herewith for filing is a patent application, as follows:

Inventor(s): Vanniasinkam, Joseph; Meyer, Jon; Viray, Christopher; Twu, Bor-Long

Title: Grating Based Multiplexer/Demultiplexer Component

- X Return Receipt Postcard
X This Transmittal Letter (in duplicate)
3 page(s) Declaration For Patent Application and Power of Attorney
11 page(s) Specification (not including claims)
4 page(s) Claims
1 page Abstract
5 Sheet(s) of Drawings
1 page(s) Recordation Form Cover Sheet (in duplicate)
3 page(s) Assignment
2 page(s) Verified Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(c))—Small Business Concern

☒ Applicant(s) assert(s) entitlement to small entity status for the attached patent application**CLAIMS AS FILED (fees computed under 37 CFR §1.9(f))**

| For | Number Filed | | Number Extra | | Rate | | Basic Fee |
|---|-----------------|-------|-----------------|---|---------|---|-----------|
| Total Claims | 23 | -20 = | 3 | x | \$ 9.00 | = | \$ 27.00 |
| Independent Claims | 3 | -3 = | 0 | x | \$42.00 | = | \$ 0.00 |
| <input type="checkbox"/> Fee of _____ for the first filing of one or more multiple dependent claims per application | | | | | | | \$ |
| <input type="checkbox"/> Fee for Request for Extension of Time | | | | | | | \$ |

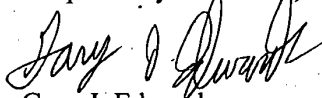
Please make the following charges to Deposit Account 19-2386:

- ☒ Total fee for filing the patent application in the amount of \$ 397.00
☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account 19-2386.

EXPRESS MAIL LABEL NO:

EL 901 563 064 US

Respectfully submitted,


 Gary J. Edwards
 Attorney for Applicant(s)
 Reg. No. 41,008
J1130 U.S. PTO
10/028419
12/21/01

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(F) AND 1.27(C)) -- SMALL BUSINESS CONCERN

Sir:

I declare that I am an official empowered to act on behalf of the small business concern identified below:

NAME OF CONCERN: Pine Photonics Communications, Inc.

ADDRESS OF CONCERN: 940 Auburn Court, Fremont, California 94538

For purposes of paying reduced fees under Section 41 of Title 35 of the United States Code with regard to the invention entitled by inventor(s) as described in U.S. Application Serial No(s). (Attorney Docket No. M-9340 US).

I declare that the above concern qualifies as a small business concern as defined in 37 CFR 1.9(d) and 13 CFR 121, and more particularly 13 CFR 121.802, namely, (a) the concern's number of employees, including those of its affiliates, does not exceed 500 persons, and (b) the concern has not assigned, granted, conveyed, or licensed, and is under no obligation to assign, grant, convey, or license, any rights in the invention to any person who made it and could not be classified as an independent inventor under 37 CFR 1.9(c), or to any concern which would not qualify as a nonprofit organization under 37 CFR 1.9(e) or a small business concern under 37 CFR 121.802.

I declare that rights under contract or law have been conveyed to and remain with the above-identified small business concern with regard to this invention.

I acknowledge my duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of

LAW OFFICES OF
SKJERVEN MORRILL
MacPHERSON LLP
25 METRO DRIVE
SUITE 700
SAN JOSE, CA 95110
(408) 453-9200
FAX (408) 453-7979

paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate per 37 CFR 1.28(b).

I declare that all statements made herein of my own knowledge are true, all statements made herein on information and belief are believed to be true, and all statements made herein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject to the penalties including fine or imprisonment or both as set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or this document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Signature: Li-chu Wang Date: Dec. 14, 2001
Official's Name: Li-chu Wang
Official's Title: VP Finance/Secretary
Concern's Name: Pine Photonics Communications, Inc.

LAW OFFICES OF
SKJERVEN MORRILL
MacPHERSON LLP

25 METRO DRIVE
SUITE 700
SAN JOSE, CA 95110
(408) 453-9200
FAX (408) 453-7979